

APPLICATION PACKAGE

Community Development Block Grant Program
Planning/Technical Assistance Allocation

Fiscal Year July 1, 2000 through June 30, 2001



STATE OF CALIFORNIA

Department of Housing and Community Development
Division of Community Affairs
Community Development Block Grant Program (CDBG)
P.O. Box 942054, MS 390-2
Sacramento, California 94252-2054

Telephone: (916) 445-6000

Fax: (916) 323-6016

Website: <http://www.hcd.ca.gov/ca/cdbg>

**STATE OF CALIFORNIA
GRAY DAVIS, GOVERNOR**

**BUSINESS, TRANSPORTATION AND HOUSING AGENCY
MARIA CONTRERAS-SWEET, SECRETARY**

**DEPARTMENT OF HOUSING AND COMMUNITY DEVELOPMENT
JULIE BORNSTEIN, DIRECTOR**

Division of Community Affairs

William J. Pavão, Deputy Chief

Community Development Block Grant Program

Joan Ruggirello, General/Native American Allocation Program Secretary
Teresa Errington, Economic Development Allocation Program Secretary

General Allocation

Lisa Vergolini, Program Manager
Stuart Baker
Larry Davis
Harry Faris
Sharon Fleury
Allen Jones (Lead)
Mimi Kawaguchi
Joanne Kellmann
Susan Kessler
Rhoda Moser
Wendy Ross

Economic Development Allocation

John Turner, Program Manager
James Bishop
Sinetta Farley
Jack Mahan
Janet Myles

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SECTION A: GENERAL PROGRAM INFORMATION

ABOUT THE P/TA ALLOCATION

A Federally funded program The State of California, Department of Housing and Community Development (HCD), administers a federal program known as the Community Development Block Grant Program (“CDBG”) or “State CDBG”).

HCD receives funds annually from the federal Department of Housing and Urban Development (HUD). Part of each annual allocation received from HUD is set aside by CDBG as the Planning and Technical Assistance Allocation, or P/TA. CDBG then divides these funds into two allocations: The General and Native American (G/NA) Allocations and the Economic Development (ED) Allocation.

The P/TA component has been part of CDBG since 1989. Since that time, CDBG has awarded 908 grants totaling over 24 million dollars.

Federal Overlay requirements P/TA grants are subject to various HUD overlay requirements. These include but are not limited to:

- Citizen participation
- Environmental review
- Procurement of services
- Section 504 of the 1973 Rehabilitation Act

For additional information, see the Attachments section of this Application Package

Authorizing legislation and regulations

Federal Statute: The Housing and Community Development Act of 1974 as amended

Federal Regulations: Code of Federal Regulations, 24 CFR Section 570.480 et seq.

State Statute: California Health and Safety Code Section 50833 (Chapter 1144, Statutes of 1988)

State Regulations: California Code of Regulations Section 7050 et seq.

FUNDING ALLOCATIONS AND AVAILABILITY

Two Allocations

P/TA funds are divided into two separate allocations: the General and Native American (G/NA) Allocation and the Economic Development (ED) Allocation.

General and Native American Allocation	\$2,797,216
Economic Development Allocation	\$1,326,690

Limitations on grant amount

- A total of \$70,000 per applicant per fiscal year.
 - Of the \$70,000, up to \$35,000 for G/NA, \$35,000 for ED.
 - No more than two grants per year for each \$35,000 allotment.
 - No more than \$70,000 for any G/NA or ED specific project can be funded in successive fiscal years, except if the project is for basemapping. In this case, no more than \$35,000 can be funded.
 - No more than \$70,000 on a combined G/NA and ED project.
-

When does funding run out

Applications for grant awards are accepted and reviewed on a continuous basis during the year until the funds are fully committed.

- G/NA funds are generally available for the whole year.
- ED funds are generally exhausted by September or October of each fiscal year.

SECTION B: FUNDING ESSENTIALS

APPLICATION PROCESS

When to apply Applications are accepted monthly and must be received at CDBG's office by 5:00 p.m. on the last working day of the month to be considered the following month. Facsimile applications will not be accepted.

CDBG will open the application period for Fiscal Year 00/01 during the month of June 2000. To be considered in July 2000, applications must be received by 5:00 p.m. on June 30th.

CDBG will accept applications for the Fiscal Year 00/01 through April 30, 2001. Applications must be received in the office by that date to be considered for FY 00/01.

Application forms The application forms are in Section F of this document. Please refer to the NOFA memorandum for information on other ways to obtain the application package.

Threshold requirements The application must meet threshold requirements to be accepted for review. If any of the required components are missing, CDBG will return the application to the applicant for resubmittal after correction of deficiencies. See Attachment 2 for details.

Application review and award process CDBG Review. CDBG reviews the application by the middle of the month following receipt of the application. Applicants are notified of approval or denial by the end of that month.

Grant Award. Successful applicants receive an award letter; unsuccessful applicants receive a denial letter and invitation to resubmit the application. The jurisdiction's state and federal legislators are also notified of awards.

State Contract. Successful applicants will enter into a contract (also known as a "Standard Agreement") with HCD.

ELIGIBLE APPLICANTS

- Eligible applicants**
- Cities with less than 50,000 residents
 - Counties with less than 200,000 residents

Cities and counties may apply on behalf of other local entities, such as water districts, economic development corporations, and other non-profit community development organizations.

- Exceptions to eligible applicants**
- If a city has entered into a three-year urban county cooperation agreement, it cannot participate in the State CDBG program until that agreement expires.
- If a city has been declared the central city of a Standard Metropolitan Statistical Area (an "Entitlement City"), it is entitled to receive CDBG funds directly from HUD and cannot participate in the State CDBG program.
-

- Joint Applications**
- Applicants considering "on behalf of" or joint applications with one or more other eligible jurisdictions are advised to contact their CDBG Representative and discuss their proposal before submitting it to CDBG. If CDBG determines that an application is inconsistent with HUD's joint application or grant benefit policies, it will return the application to the applicants.

INELIGIBLE APPLICANTS

- Reasons applicants are ineligible**
- Three main reasons why an applicant might be ineligible to apply for funds:
1. Unresolved adverse performance or audit findings on prior CDBG grants. Applicants must have a good performance record on prior grants with CDBG to be considered for funding.
 2. Growth control measure is in effect at the local level.
 3. Housing element is not in procedural compliance with State law.

Contact your CDBG Representative if you are unsure of your status.

- Reasons to waive ineligibility due to adverse performance**
- Waiver of performance problems is possible if:
- the findings result in no obligation to return funds to the grantor; or
 - satisfactory repayment or performance arrangements have been made with the grantor; or
 - formal action has already been taken to resolve the problem.

WHAT ACTIVITIES THE MONEY CAN BE USED FOR

Types of projects The G/NA Allocation focuses on housing, public works, and community facilities such as day care centers, food banks, senior centers, homeless shelters, and medical clinics.

The ED Allocation focuses on job creation and retention through business expansion and retention projects.

Examples of eligible projects

G/NA:

- ↗ affordable housing needs and/or development studies
- ↗ community facility feasibility studies (homeless shelters, day care centers and medical clinics)
- ↗ community needs assessments
- ↗ housing condition surveys
- ↗ infrastructure needs analyses and cost estimates
- ↗ writing grant applications to other funding sources

ED:

- ↗ business attraction and job retention studies
- ↗ business incubator development feasibility studies
- ↗ business development feasibility studies
- ↗ infrastructure needs analyses and cost estimates related to business development or business retention projects
- ↗ writing grant applications to other funding sources
- ↗ needs assessment for business revolving loan fund

INELIGIBLE USES OF FUNDS

Ineligible activities

The list that follows is examples only. CDBG encourages applicants to check with a CDBG Representative if they have questions about the eligibility of a proposed project.

<u><i>Ineligible Activity</i></u>	<u><i>Exception</i></u>
Housing element preparation.	Costs incurred for the preparation of that portion of the element in which affordable housing is addressed is eligible. See also below under comprehensive planning.
Working engineering or architectural specifications/drawings and design costs related to a specific project.	General feasibility studies that include <u>preliminary</u> engineering, architectural or design costs are eligible.
Day-to-day operations of local government or private or public organizations serving the community or region.	
<p>Comprehensive, general or long range planning.</p> <ul style="list-style-type: none"> • <i>Comprehensive</i> means the study was conducted for more than half of the geographic area in the jurisdiction, and includes two or more topics regarding the physical development of the jurisdiction. • <i>General</i> means the documents include summaries of broad policies or proposals that are not site specific. • <i>Long-range</i> means the time-frames for the policies and proposals are five years or more. 	Comprehensive planning is allowed if the planning is carried out in a geographic area in which 51% or more of the residents are TIG as documented by the federal census and the applicant can document that the comprehensive plan will primarily benefit TIG persons.
<p>Actual implementation of an activity. Examples are:</p> <ul style="list-style-type: none"> • acquiring real property • business loans • construction • marketing materials • purchase of equipment • relocation 	

SECTION C: AFTER A GRANT IS AWARDED

STATE CONTRACT PROCESS

Contract Successful applicants will enter into a contract (also known as a “Standard Agreement”) with HCD. The contract contains all the relevant State and Federal requirements, as well as specific information about the grant award and the work to be performed.

Contract term The contract term is variable depending on the nature of the funded activity, but cannot exceed 30 months.

Implementing the contract Receiving grant funds. CDBG’s cash request system allows grantees to request funds on a monthly basis after the contract has been fully executed. Funds are mailed out about four weeks from the time CDBG receives the cash request.

Reporting requirements. Grantees have minimal reporting requirements—a financial and accomplishment report every three months.

Managing the grant. CDBG publishes a Grant Management Manual to help grantees understand the program requirements.

Completing the contract Closeout package. At the end of the contract, grantees must submit documents to close out the grant. These documents are described in the Grant Management Manual.

Final product. At end of the contract, grantees must submit the “Final Product” describing the work performed.

Implementation plan. At the end of the contract, if the planning activity requires follow-up implementation, the grantee has to submit an “Implementation Plan.” This plan has to:

- identify the persons or entity who will be responsible for implementation;
- describe the tasks needed to implement the activity;

**Completing
the contract,
continued**

- document the capacity to implement (staffing, funding resources);
- document the jurisdiction's commitment to help out with implementation (a resolution from the governing body or a letter from the chief executive officer).

CDBG compliance review. At the end of the contract term, CDBG performs a compliance review of the P/TA activities and closeout documentation.

10 percent retention. CDBG will retain 10 percent of the grant award pending receipt and approval of the final product and the implementation plan, and any other documentation that may be required as a condition of the contract.

SECTION D: HOW TO REACH US FOR ASSISTANCE

By mail State of California
 Department of Housing and Community Development
 Community Development Block Grant Program, MS 390-2
 P. O. Box 952054
 Sacramento, CA 94252-2054

By fax (916) 323-6016

	<u>Managers</u>	<u>E-mail</u>	<u>Telephone</u>
By E-mail and telephone	Vergolini, Lisa (G/NA).....	lvergoli@hcd.ca.gov	(916) 327-3615
	Turner, John (ED)	jturner@hcd.ca.gov	(916) 327-2130

<u>Program Secretaries</u>	<u>E-mail</u>	<u>Telephone</u>
Ruggirello, Joan (G/NA).....	jruggire@hcd.ca.gov	(916) 445-6000
Errington, Teresa (ED).....	terringt@hcd.ca.gov	(916) 445-6000

General Allocation Staff	<u>E-mail</u>	<u>Telephone</u>
Baker, Stuart.....	sbaker@hcd.ca.gov	(916) 322-0921
Davis, Larry	ldavis@hcd.ca.gov	(916) 322-9864
Faris, Harry	hfaris@hcd.ca.gov	(916) 324-9333
Fleury, Sharon.....	sfleury@hcd.ca.gov	(916) 327-3621
Jones, Allen.....	ajones@hcd.ca.gov	(916) 327-3755
Kawaguchi, Mimi.	mkawaguc@hcd.ca.gov	(916) 327-3644
Kellmann, Joanne.....	jkellman@hcd.ca.gov	(916) 445-3675
Kessler, Susan.	skessler@hcd.ca.gov	(916) 327-3748
Moser, Rhoda.....	rmoser@hcd.ca.gov	(916) 327-3613
Ross, Wendy.....	wross@hcd.ca.gov	(916) 324-4522

Economic Development Allocation Staff	<u>E-mail</u>	<u>Telephone</u>
Bishop, Jim.....	jbishop@hcd.ca.gov	(916) 327-3582
Farley, Sinetta.....	sfarley@hcd.ca.gov	(916) 327-2856
Mahan, Jack.....	jmahan@hcd.ca.gov	(916) 323-9714
Myles, Janet.....	jmyles@hcd.ca.gov	(916) 322-0877

HOW TO REACH US, continued

Website <http://www.hcd.ca.gov/ca/cdbg>

In person HCD's office is located at 1800 Third Street in downtown Sacramento

Fee parking is available at on-street meters (quarters only) and at two adjacent parking structures:

- Third and Q Streets, the Public Employees Retirement System (PERS) parking garage, entrance is from Q Street
- Fifth and S Streets, the Consumer Affairs parking garage, entrance is from Fifth Street

SECTION E: ATTACHMENTS

Attachment 1	Application review and contract processing timeline
Attachment 2	Application threshold requirements
Attachment 3	Cash match requirement (also see Attachment 5 for cash match percentages)
Attachment 4	Citizen participation/public hearings
Attachment 5	Eligible jurisdictions, cash match, and CDBG staff contact list
Attachment 6	Growth control
Attachment 7	Income limits by county
Attachment 8	National objective documentation
Attachment 9	Procurement
Attachment 10	Public information file
Attachment 11	Resolution of the governing body (sample)
Attachment 12	Section 504 of the Rehabilitation Act of 1973
Attachment 13	Statement of assurances (sample)
Attachment 14	Survey techniques

**ATTACHMENT 1: APPLICATION REVIEW AND CONTRACT
PROCESSING TIMELINE**

The timeline below is an example of how long the application review and contracting processes typically take. Individual situations may vary.

<i>Steps in the process</i>	<i>Typical date</i>
Application submitted to CDBG by last day of month	July 31
CDBG staff review by middle of following month	Aug. 15
Department award letter sent to jurisdiction by end of review month	Aug. 31
CDBG prepares state contract -- about two weeks	Sept. 15
Internal review of state contract at HCD -- up to 30 days	-- --
State contract mailed to jurisdiction for signature	Oct. 15
Jurisdiction has 30 days to return the contract to HCD	Nov. 15
Final internal review at HCD -- about 10 days	Nov. 30
Executed contract mailed to jurisdiction	Dec. 10

Unless the contract contains special conditions to the contrary, the jurisdiction can incur costs and begin work as of the contract execution date, which is stamped in the lower right-hand corner of the contract. The contract execution date predates the mailing date by about 5-10 days.

ATTACHMENT 2: APPLICATION THRESHOLD REQUIREMENTS

Applications will be reviewed based on the following threshold criteria. Applications that do not meet the minimum threshold criteria will not be considered for funding. If this occurs, CDBG will notify the applicant in writing of this determination.

Applicants may resubmit their applications for reconsideration. Unfunded applicants are encouraged to schedule meetings with their CDBG representative to discuss ways to strengthen their applications for future submission.

These criteria are described in attachments as indicated below:

<i>Criterion</i>	<i>For more information</i>
Cash match documented in a certified resolution of the governing body	Attachments 3 and 5
Citizen participation/Public hearings	Application Summary Form and Attachment 4
Eligible activity meeting a HUD national objective	Section A
Eligible applicant	Section B
Environmental review certification	Application Summary Form
Growth control measures are not in effect	Application Summary Form and Attachment 6
Housing element self-certification	Application Summary Form
National objective documentation	Section A and Attachment 8
Resolution of the governing body	Attachment 11
Section 504 of the Rehabilitation Act of 1973	Attachment 12
Statement of Assurances	Attachment 13

<p align="center">ATTACHMENT 3: CASH MATCH REQUIREMENT (See also Attachment 5 for cash match percentage requirements)</p>
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Regulatory authority.

CDBG's Program Statute (Health and Safety Code, Section 50833) requires each applicant to contribute a cash match of up to 25% of the funds requested.

Basis of the cash match calculation.

The basis of the cash match is local sales and use tax revenues for each eligible city and county. CDBG obtains revenue data from the State Controller's Office and computes the data on a per capita basis to determine the cash match percentage for each applicant. The cash match percentage requirement for each eligible city and county is shown at the end of this attachment.

For joint applicants, the amount of the cash match is determined by:

- Calculating the amount of the grant each jurisdiction will receive, then:
- Multiplying those amounts by each jurisdiction's cash match percentage.

Resolution of local commitment.

The cash match must be documented in a Resolution submitted with the application package. See Attachment 11 for a sample Resolution.

Acceptable expenditures of cash match on the grant.

For "in-kind staff time," payment of personnel and related costs of the jurisdiction when city or county staff carry out the study or project. The jurisdiction must maintain accurate accounting records to show the cash match was set aside for the grant and that local staff time was accounted for and paid by the cash match. See discussion below under "Frequently asked questions about cash match."

Salaries and supplies related to the general administration of the grant.

Payments of services for any contractors or subcontractors.

Acceptable sources for cash match.

Local general funds, except that in-kind contributions are not acceptable.

CDBG program income from previous grants.

NOTE: The commitment of cash match funds in the authorizing Resolution should not state "in-kind." The local contribution must be in cash.

Contributions of cash from third party organizations. While such contributions are allowable, the third party is precluded from performing any work under the grant, unless it qualifies as a subrecipient organization and enters into a Subrecipient Agreement with the grantee. For more information, see the CDBG Grant Management Manual, Chapter 2 – Program Operators (available in hard copy or on our website www.hcd.ca.gov/ca/cdbg/gmm/).

Cash match accounting.

The cash match must be set aside and identifiable in the jurisdiction's fiscal records (i.e., the expenditures of the cash match must be identifiable in an audit or fiscal review).

Local cash match must be fully expended before the grantee spends any of the CDBG grant award and requests for CDBG funds will not be approved until CDBG verifies that all cash match has been fully expended. Reductions in final grant expenditures will not result in a commensurate reduction in the required cash match. If any savings occur, the grantee will have to disencumber or return any CDBG funds.

ATTACHMENT 4: CITIZEN PARTICIPATION/PUBLIC HEARINGS

<u>Purpose:</u>	To inform citizens of the opportunity for Federal funding To obtain citizen input on what P/TA activities should be proposed for funding
<u>Action needed</u>	Public notices; public hearings; public meetings Documentation is required with the application. See instructions in Section F.

CITIZEN PARTICIPATION

The applicant should provide an opportunity to participate to all persons who may be affected by the proposed activities, especially TIG persons.

PUBLIC HEARINGS

A public hearing is a public meeting that has been publicly noticed in a local newspaper of general circulation, or noticed in a fashion which otherwise follows local procedures for formal noticing of public hearings. The only public hearing that must be held before the local governing body is the hearing prior to submitting an application for funding to CDBG. All other public hearings may be conducted by any designated employee or agent of the city or county who is knowledgeable about the program. Hearings are required at the following stages of a CDBG P/TA grant:

Before getting a CDBG grant

1. At project design phase
2. Before submitting an application for funding

During the term of a CDBG contract

1. Before making any program amendments involving more than 10% of the total program budget.
2. Before making any program amendments that constitute a change in policies, standards, or criteria for program implementation.
3. When adopting or revising a Program Income Re-use Plan.
4. Before spending any Program Income revolving loan fund where the expenditure has not been previously noticed to the public as part of the Program Income Re-Use Plan hearing process.

At the end of the CDBG contract term

Before submitting the Final Product of the P/TA activity and the closeout package.

WHAT TO COVER IN THE PRE-APPLICATION HEARINGS

It is important to fully disclose the following information to the public at the public hearings held prior to submitting the application to the Department

1. **At project design phase.** At least one public hearing must be held during the time when the jurisdiction is deciding for which local project(s) or activity(s) to apply for CDBG funding. Residents of the area where CDBG funds will be used should be encouraged to participate. At this hearing, the following information should be offered:
 - an explanation of the CDBG program
 - an opportunity for attendees to ask questions and suggest possible uses of funds
 - information about the amount of funding available, the range of possible activities that may be undertaken with CDBG funds, and the opportunities for citizen involvement as the program progresses.
 - discussion of the national objective of benefit to Targeted Income Group (TIG) persons or other national objective
 - information about plans to minimize displacement that may occur as a result of grant funding
 - information that any assessments resulting from a CDBG-funded project will not be paid by members of the lowest Targeted Income Group and whether Targeted Income Group households who benefit from the project must pay any assessments
 - an invitation for written comments and how to submit such comments
 - information about the availability of technical assistance to groups representing TIG persons that request such assistance in developing proposals
2. **Before submitting an application for funding.** After the application has been prepared, and before it is submitted to the Department, the jurisdiction must hold a second hearing. At this time, the same information in the first six items listed above should be covered. In addition, the jurisdiction should:
 - fully describe the proposed activity(s) in the application
 - provide information about the amount of funding that is being requested
 - describe where each activity will be carried out and how it will meet the national objective of benefit to TIG persons or other national objective
 - provide information on the estimated time schedule to accomplish the activity
 - provide opportunity for attendees to comment on the program, subject to the applicant's normal rules governing public hearings.

NOTICING REQUIREMENTS

All hearings should be noticed as widely as possible and held at a time and place convenient to the public, with accommodations for persons with disabilities. Where a significant number of non-English persons can reasonably be expected to participate, the notice must be in the appropriate language(s) and provision should be made for interpreters at the hearing. Public notices always should contain the following information:

- **the time and place of the hearing**
- **the availability of a public information file about the CDBG program**
- **an invitation to submit written comments and guidance on where to send such comments.**

In addition to the information above, specific public hearings require specific information in the public notice.

1. At the **project design stage**, the Public Notice should contain information about:
 - **the amount of CDBG funds available**
 - **the kinds of activities that are eligible for funding**
2. At the **application submittal phase**, the Public Notice should contain information about:
 - **the application's dollar amount**
 - **the activities being proposed**
 - **a relocation plan, if residents will be relocated as a result of the proposed activity**
3. When any changes are made or actions are taken **during the term of the grant** that have not already been disclosed to the public, the notice should include:
 - **information about the action being taken**
4. Before submitting the Final Product of the P/TA activity and the closeout package **at the end of the CDBG contract term**, the notice should include:
 - **notice that the accomplishments under the grant will be disclosed**

RECORDKEEPING

The applicant/grantee should keep a record of all public hearings. The record should contain copies of the Public Notices, minutes of the hearings documenting that the contents of the Notice were discussed at the hearing, and a list of attendees. Attendees are not required to sign a sign-in sheet, but the file should show that a list was made available for sign-in at the start of the hearing. If attendees were present but did not sign or if no one attended, the file should so indicate.

DECISIONS REGARDING APPLICATION CONTENTS/GRIEVANCES AND COMPLAINTS

The local governing body has the sole discretion of deciding the contents of an application for funding. Any allegations made by any resident of the community that the procedural or legal requirements of the program are being violated should be thoroughly investigated. Any written complaints and grievances must receive a written response within 15 days where practicable.

SAMPLE NOTICE

A sample Public Notice for use at the project design stage follows on the next page.

NOTICE OF PUBLIC HEARING (SAMPLE)

NOTICE IS HEREBY GIVEN that the City/County of _____ will conduct a public hearing by the City Council on Thursday, July 20, 2000, at 8:00 p.m. at the City Hall Conference Room, _____ Street, to discuss the Fiscal Year 2000/2001 Community Development Block Grant program and to solicit citizen input.

Maximum award limits include a total of \$800,000 per year from the General and Economic Development Components combined. Up to \$500,000 per application per year may be awarded from the General and Economic Development Components. Grants up to \$35,000 per year from the General Planning and Technical Assistance allocation and \$35,000 per year from the Economic Development Planning and Technical Assistance allocation may be awarded and do not count toward the \$800,000 cap. A Native American allocation is available for eligible activities in areas with concentrations of Native American Indians not federally recognized as an Indian tribe or rancheria. The amount of Native American funds available varies each year, and a grant from this allocation does not count toward the \$800,000 cap.

The major activity categories are Planning and Technical Assistance; Housing-Acquisition; Housing-New Construction; Housing-Rehabilitation; Community Facilities/Public Services; Public Works; and Economic Development. Projects funded with CDBG funds must meet at least one of the following National Objectives: Benefit to Targeted Income Group (TIG) persons or elimination of slums and blight.

The Community Development/Housing Department on behalf of the City/County of _____ anticipates applying for the maximum grant amount of \$800,000 under the General and Economic Development Components for housing rehabilitation and Reservation of Funds for small business loans as well as the maximum grant amount of \$70,000 from the General and Economic Development Planning and Technical Assistance Components.

The purpose of the public hearing will be to give citizens an opportunity to make their comments known. If you are unable to attend the public hearing, you may direct written comments to the City/County of _____, Community Development/Housing Department, _____ Street, _____, CA 95____ or you may telephone _____. In addition, information may be obtained at the above address between the hours of 8:00 a.m. and 5:00 p.m. on weekdays.

ATTACHMENT 5:
ELIGIBLE JURISDICTIONS, CASH MATCH PERCENTAGES AND CDBG
STAFF CONTACT LIST

NOTES:

1. The data in this attachment were obtained in May 1999 from the State Controller's Office. The data are contained in a report entitled "Sales & Use Tax Revenues Per Capita & Estimated Population."
2. To calculate the minimum amount of cash match required, multiply the percentage in the "Cash Match Percentage" column opposite the applicant's name times the total amount of CDBG funds requested.

<u>Jurisdiction</u>	<u>County</u>	<u>TIG¹</u> <u>Percentage</u>	<u>Cash Match</u> <u>Percentage</u>	<u>General</u> <u>Representative</u>	<u>Economic</u> <u>Development</u> <u>Representative</u>
Alpine County	Alpine	43	25	Allen Jones	Janet Myles
Alturas	Modoc	45	20	Stuart Baker	Sinetta Farley
Amador City	Amador	37	10	Allen Jones	Janet Myles
Amador County	Amador	34	7	Allen Jones	Janet Myles
American Canyon	Napa	31	16	Larry Davis	Jack Mahan
Anderson	Shasta	53	17	Rhoda Moser	Sinetta Farley
Angels Camp	Calaveras	42	23	Harry Faris	Janet Myles
Arcata	Humboldt	56	14	Stuart Baker	Jack Mahan
Arroyo Grande	San Luis Obispo ²	32	17	Susan Kessler	Jim Bishop
Atherton	San Mateo ²	7.6	5	Allen Jones	Jim Bishop
Atwater	Merced	41	6	Sharon Fleury	Jim Bishop
Auburn	Placer	33	20	Susan Kessler	Janet Myles
Avalon	Los Angeles ²	55	23	Mimi Kawaguchi	Jim Bishop
Avenal	Kings	52	2	Harry Faris	Jim Bishop
Benicia	Solano	22	15	Larry Davis	Jack Mahan
Biggs	Butte	47	3	Wendy Ross	Sinetta Farley
Bishop	Inyo	47	25	Allen Jones	Jim Bishop
Blue Lake	Humboldt	43	5	Stuart Baker	Jack Mahan
Bradbury	Los Angeles ²	4	1	Mimi Kawaguchi	Jim Bishop
Brawley	Imperial	52	8	Mimi Kawaguchi	Jim Bishop
Buellton	Santa Barbara	32	25	Susan Kessler	Jim Bishop

¹ This figure represents the percentage of Targeted Income Group (TIG) in the jurisdiction based on 1990 census data.

² Although the cities listed within this county are CDBG eligible jurisdictions, the county itself is not.

<u>Jurisdiction</u>	<u>County</u>	<u>TIG¹</u> <u>Percentage</u>	<u>Cash Match</u> <u>Percentage</u>	<u>General</u> <u>Representative</u>	<u>Economic</u> <u>Development</u> <u>Representative</u>
Butte County	Butte	45	3	Wendy Ross	Sinetta Farley
Calaveras County	Calaveras	35	6	Harry Faris	Janet Myles
Calexico	Imperial	64	15	Mimi Kawaguchi	Jim Bishop
Calipatria	Imperial	64	2	Mimi Kawaguchi	Jim Bishop
Calistoga	Napa	52	11	Larry Davis	Jack Mahan
Canyon Lake	Riverside ²	14	1	Mimi Kawaguchi	Jim Bishop
Capitola	Santa Cruz	47	25	Harry Faris	Jim Bishop
Carmel	Monterey	26	25	Larry Davis	Jim Bishop
Carpinteria	Santa Barbara	38	12	Susan Kessler	Jim Bishop
Ceres	Stanislaus	38	12	Harry Faris	Janet Myles
Chowchilla	Madera	47	8	Larry Davis	Jim Bishop
Clearlake	Lake	55	10	Larry Davis	Jack Mahan
Coachella	Riverside	70	7	Mimi Kawaguchi	Jim Bishop
Colfax	Placer	57	25	Susan Kessler	Janet Myles
Colusa	Colusa	44	22	Wendy Ross	Sinetta Farley
Colusa County	Colusa	43	7	Wendy Ross	Sinetta Farley
Corcoran	Kings	56	10	Harry Faris	Jim Bishop
Corning	Tehama	56	25	Rhoda Moser	Sinetta Farley
Crescent City	Del Norte	48	15	Stuart Baker	Jack Mahan
Del Norte County	Del Norte	42	4	Stuart Baker	Jack Mahan
Del Rey Oaks	Monterey	21	15	Larry Davis	Jim Bishop
Delano	Kern	59	10	Sharon Fleury	Jim Bishop
Dinuba	Tulare	49	11	Sharon Fleury	Jim Bishop
Dixon	Solano	38	15	Larry Davis	Jack Mahan
Dorris	Siskiyou	71	5	Stuart Baker	Jack Mahan
Dos Palos	Merced	54	10	Sharon Fleury	Jim Bishop
Dunsmuir	Siskiyou	51	9	Stuart Baker	Jack Mahan
El Centro	Imperial	45	17	Mimi Kawaguchi	Jim Bishop
El Dorado County	El Dorado	35	5	Harry Faris	Janet Myles
Etna	Siskiyou	50	8	Stuart Baker	Jack Mahan
Eureka	Humboldt	46	25	Stuart Baker	Jack Mahan
Exeter	Tulare	49	8	Sharon Fleury	Jim Bishop
Farmersville	Tulare	64	4	Sharon Fleury	Jim Bishop
Ferndale	Humboldt	34	12	Stuart Baker	Jack Mahan

<u>Jurisdiction</u>	<u>County</u>	<u>TIG¹ Percentage</u>	<u>Cash Match Percentage</u>	<u>General Representative</u>	<u>Economic Development Representative</u>
Fort Bragg	Mendocino	42	25	Rhoda Moser	Jack Mahan
Fort Jones	Siskiyou	54	2	Stuart Baker	Jack Mahan
Fortuna	Humboldt	39	14	Stuart Baker	Jack Mahan
Fowler	Fresno ²	48	16	Larry Davis	Jim Bishop
Glenn County	Glenn	46	4	Joanne Kellmann	Sinetta Farley
Gonzales	Monterey	64	7	Larry Davis	Jim Bishop
Grass Valley	Nevada	53	25	Wendy Ross	Janet Myles
Greenfield	Monterey	60	4	Larry Davis	Jim Bishop
Gridley	Butte	57	21	Wendy Ross	Sinetta Farley
Guadalupe	Santa Barbara	76	4	Susan Kessler	Jim Bishop
Gustine	Merced	30	6	Sharon Fleury	Jim Bishop
Hanford	Kings	41	17	Harry Faris	Jim Bishop
Hermosa Beach	Los Angeles ²	22	14	Mimi Kawaguchi	Jim Bishop
Hidden Hills	Los Angeles ²	7	3	Mimi Kawaguchi	Jim Bishop
Hollister	San Benito	44	13	Larry Davis	Jim Bishop
Holtville	Imperial	53	4	Mimi Kawaguchi	Jim Bishop
Hughson	Stanislaus	40	7	Harry Faris	Janet Myles
Humboldt County	Humboldt	43	3	Stuart Baker	Jack Mahan
Huron	Fresno	69	4	Larry Davis	Jim Bishop
Imperial	Imperial	33	16	Mimi Kawaguchi	Jim Bishop
Imperial County	Imperial	51	2	Mimi Kawaguchi	Jim Bishop
Indian Wells	Riverside ²	11	25	Mimi Kawaguchi	Jim Bishop
Industry	Los Angeles ²	53	25	Mimi Kawaguchi	Jim Bishop
Inyo County	Inyo	38	7	Allen Jones	Jim Bishop
Ione	Amador	29	3	Allen Jones	Janet Myles
Jackson	Amador	42	25	Allen Jones	Janet Myles
King City	Monterey	58	14	Larry Davis	Jim Bishop
Kings County	Kings	45	2	Harry Faris	Jim Bishop
Lake County	Lake	43	5	Larry Davis	Jack Mahan
Lakeport	Lake	37	25	Larry Davis	Jack Mahan
Lassen County	Lassen	38	4	Rhoda Moser	Sinetta Farley
Lemoore	Kings	34	9	Harry Faris	Jim Bishop
Lincoln	Placer	45	10	Susan Kessler	Janet Myles
Lindsay	Tulare	58	5	Sharon Fleury	Jim Bishop

<u>Jurisdiction</u>	<u>County</u>	<u>TIG¹ Percentage</u>	<u>Cash Match Percentage</u>	<u>General Representative</u>	<u>Economic Development Representative</u>
Live Oak	Sutter	66	4	Wendy Ross	Janet Myles
Livingston	Merced	47	4	Sharon Fleury	Jim Bishop
Loomis	Placer	26	10	Susan Kessler	Janet Myles
Los Banos	Merced	43	11	Sharon Fleury	Jim Bishop
Loyalton	Sierra	33	11	Susan Kessler	Sinetta Farley
Madera County	Madera	41	5	Larry Davis	Jim Bishop
Mammoth Lakes	Mono	40	25	Allen Jones	Jim Bishop
Maricopa	Kern ²	36	2	Sharon Fleury	Jim Bishop
Marina	Monterey	52	4	Larry Davis	Jim Bishop
Mariposa County	Mariposa	35	11	Allen Jones	Jim Bishop
Marysville	Yuba	45	21	Susan Kessler	Janet Myles
Mendocino County	Mendocino	38	6	Rhoda Moser	Jack Mahan
Mendota	Fresno ²	68	6	Larry Davis	Jim Bishop
Merced County	Merced	45	3	Sharon Fleury	Jim Bishop
Modoc County	Modoc	43	3	Stuart Baker	Sinetta Farley
Mono County	Mono	41	5	Allen Jones	Jim Bishop
Montague	Siskiyou	52	6	Stuart Baker	Jack Mahan
Monterey County	Monterey	44	4	Larry Davis	Jim Bishop
Morro Bay	San Luis Obispo ²	43	16	Susan Kessler	Jim Bishop
Mount Shasta	Siskiyou	45	24	Stuart Baker	Jack Mahan
Napa County	Napa	36	4	Larry Davis	Jack Mahan
Nevada City	Nevada	42	25	Wendy Ross	Janet Myles
Nevada County	Nevada	34	5	Wendy Ross	Janet Myles
Newman	Stanislaus	47	9	Harry Faris	Janet Myles
Oakdale	Stanislaus	37	20	Harry Faris	Janet Myles
Orange Cove	Fresno	79	3	Larry Davis	Jim Bishop
Orland	Glenn	50	15	Joanne Kellmann	Sinetta Farley
Oroville	Butte	60	25	Wendy Ross	Sinetta Farley
Pacific Grove	Monterey	35	15	Larry Davis	Jim Bishop
Palos Verdes Estates	Los Angeles ²	7	3	Mimi Kawaguchi	Jim Bishop
Patterson	Stanislaus	37	10	Harry Faris	Janet Myles
Pismo Beach	San Luis Obispo ²	37	24	Susan Kessler	Jim Bishop
Placer County	Placer	30	6	Susan Kessler	Janet Myles

<u>Jurisdiction</u>	<u>County</u>	<u>TIG¹ Percentage</u>	<u>Cash Match Percentage</u>	<u>General Representative</u>	<u>Economic Development Representative</u>
Placerville	El Dorado	50	25	Harry Faris	Janet Myles
Plumas County	Plumas	39	10	Susan Kessler	Sinetta Farley
Plymouth	Amador	36	9	Allen Jones	Janet Myles
Point Arena	Mendocino	54	16	Rhoda Moser	Jack Mahan
Portola	Plumas	50	10	Susan Kessler	Sinetta Farley
Rancho Mirage	Riverside ²	26	25	Mimi Kawaguchi	Jim Bishop
Red Bluff	Tehama	53	23	Rhoda Moser	Sinetta Farley
Ridgecrest	Kern ²	23	11	Sharon Fleury	Jim Bishop
Rio Dell	Humboldt	53	3	Stuart Baker	Jack Mahan
Rio Vista	Solano	39	22	Larry Davis	Jack Mahan
Riverbank	Stanislaus	41	5	Harry Faris	Janet Myles
Rocklin	Placer	26	14	Susan Kessler	Janet Myles
San Benito County	San Benito	38	4	Larry Davis	Jim Bishop
San Joaquin	Fresno ²	65	9	Larry Davis	Jim Bishop
San Juan Bautista	San Benito	47	15	Larry Davis	Jim Bishop
San Juan Capistrano	Orange	31	17	Mimi Kawaguchi	Jim Bishop
Sand City	Monterey	83	25	Larry Davis	Jim Bishop
Santa Barbara County	Santa Barbara	43	3	Susan Kessler	Jim Bishop
Santa Cruz County	Santa Cruz	40	4	Harry Faris	Jim Bishop
Scotts Valley	Santa Cruz	22	25	Harry Faris	Jim Bishop
Shasta County	Shasta	39	3	Rhoda Moser	Sinetta Farley
Shasta Lake	Shasta	Not Avail	3	Rhoda Moser	Sinetta Farley
Sierra County	Sierra	33	8	Susan Kessler	Sinetta Farley
Siskiyou County	Siskiyou	44	2	Stuart Baker	Jack Mahan
Solano County	Solano	34	1	Larry Davis	Jack Mahan
Soledad	Monterey	66	2	Larry Davis	Jim Bishop
Solvang	Santa Barbara	34	25	Susan Kessler	Jim Bishop
Sonora	Tuolumne	41	25	Allen Jones	Janet Myles
South Lake Tahoe	El Dorado	55	19	Harry Faris	Janet Myles
St. Helena	Napa	36	25	Larry Davis	Jack Mahan
Stanislaus County	Stanislaus	38	6	Harry Faris	Janet Myles
Suisun City	Solano	34	4	Larry Davis	Jack Mahan
Susanville	Lassen	41	12	Rhoda Moser	Sinetta Farley

<u>Jurisdiction</u>	<u>County</u>	<u>TIG¹</u> <u>Percentage</u>	<u>Cash Match</u> <u>Percentage</u>	<u>General</u> <u>Representative</u>	<u>Economic</u> <u>Development</u> <u>Representative</u>
Sutter County	Sutter	39	4	Allen Jones	Janet Myles
Sutter Creek	Amador	39	20	Wendy Ross	Janet Myles
Taft	Kern ²	25	24	Sharon Fleury	Jim Bishop
Tehama	Tehama	42	1	Rhoda Moser	Sinetta Farley
Tehama County	Tehama	45	3	Rhoda Moser	Sinetta Farley
Trinidad	Humboldt	27	24	Stuart Baker	Jack Mahan
Trinity County	Trinity	49	7	Wendy Ross	Jack Mahan
Truckee	Nevada	34	16	Wendy Ross	Janet Myles
Tulare County	Tulare	48	3	Sharon Fleury	Jim Bishop
Tulelake	Siskiyou	64	11	Stuart Baker	Jack Mahan
Tuolumne County	Tuolumne	34	7	Allen Jones	Janet Myles
Ukiah	Mendocino	42	25	Rhoda Moser	Jack Mahan
Vernon	Los Angeles ²	68	25	Mimi Kawaguchi	Jim Bishop
Waterford	Stanislaus	50	5	Harry Faris	Janet Myles
Weed	Siskiyou	58	16	Stuart Baker	Jack Mahan
West Sacramento	Yolo	55	25	Susan Kessler	Jack Mahan
Westmorland	Imperial	54	6	Mimi Kawaguchi	Jim Bishop
Wheatland	Yuba	39	7	Susan Kessler	Janet Myles
Williams	Colusa	48	20	Wendy Ross	Sinetta Farley
Willits	Mendocino	45	24	Rhoda Moser	Jack Mahan
Willows	Glenn	51	16	Joanne Kellmann	Sinetta Farley
Winters	Yolo	38	6	Susan Kessler	Jack Mahan
Woodlake	Tulare	67	5	Sharon Fleury	Jim Bishop
Yolo County	Yolo	46	2	Susan Kessler	Jack Mahan
Yountville	Napa	44	12	Larry Davis	Jack Mahan
Yreka	Siskiyou	44	25	Stuart Baker	Jack Mahan
Yuba County	Yuba	51	4	Susan Kessler	Janet Myles

ATTACHMENT 6: GROWTH CONTROL

NOTE: This information is provided as a means of alerting potential applicants of this important requirement. Applicants should read this information before they fill out an application for funding.

Ineligible to apply for funds. Any applicant with a growth control measure in effect is not eligible to apply for P/TA funds.

Statutory authority. Program Regulations, Health and Safety Code Section 50830.

Definition of a growth control measure.

A general plan, ordinance, or other measure which directly limits, by number:

1. the building permits that may be issued for residential construction, or
2. the buildable lots which may be developed for residential purposes.

Section 50830 does not apply to:

1. an ordinance adopted by a city or county which does any of the following:
 - a) imposes a moratorium to protect the public health and safety on residential construction for a specified period of time if, under the terms of the ordinance, the moratorium will cease when the public health and safety is no longer jeopardized by the construction;
 - b) creates agricultural preserves under Chapter 7 (commencing with Section 51200) of Part 2 of Division 1 of title 5 of the government code; or
 - c) was adopted pursuant to a specific requirement of a State or multi-state board, agency, department, or commission;or
2. a city or county which has a housing element that the Department has found to be adequate pursuant to subdivision (c) of Section 65585 or Section 65586 of the Government Code at the time the city or county applies for funds under the State CDBG Program, unless a final court order has found that such housing element is not in compliance with Article 10.6 (commencing with Section 65580) of Chapter 3 of Division 1 of Title 7 of the Government Code.

ATTACHMENT 8: NATIONAL OBJECTIVE DOCUMENTATION

National Objectives

- Benefits the Targeted Income Group
- Eliminates or prevents slums or blight

Federal law establishes the primary national objective for the CDBG Program as the development of viable urban communities by providing decent housing and a suitable living environment and by expanding economic opportunities, principally for persons of low and moderate income.

Definition of targeted income group. "Persons of low and moderate income" are defined as families and individuals whose incomes do not exceed 80% of the county median income, with adjustments for smaller and larger families. According to State CDBG Program regulations, these Targeted Income Group (TIG) individuals and families are intended to be the principal beneficiaries of the State CDBG Program. State CDBG uses the term "Targeted Income Group" (TIG) for households at 80% and below of median and "Lowest Targeted Income Group" (LTIG) for households at 50% and below of median. See Attachment 7 for the current income limits.

General requirements

P/TA activities must be directed towards the planning of a project which, if brought to completion, would meet the CDBG objectives in State and Federal law.

General studies that provide a community-wide service or data base will not be considered to meet program objectives unless the community as a whole is 51% TIG and the work, if completed, would principally benefit TIG.

Which objectives can be met

For G/NA. TIG benefit only

State law requires that any proposed G/NA P/TA activity must, if brought to completion, principally benefit TIG persons. "Principally benefit" means that 51% of those individuals who benefit from the activity are from the TIG.

For ED. Either of two National Objectives

State law allows any proposed ED P/TA activity to satisfy any one of the two HUD national objectives: "aiding in the prevention or elimination of slums and blight" or "benefiting low and moderate income persons." Applicants who intend to address the slums and blight national objective should contact the Department to confirm the eligibility of the activity.

Documentation required with the application.

▸ Benefit to the Targeted Income Group.

Applicants must provide information in the application about how the P/TA project, if brought to implementation, would “principally benefit” TIG persons. “Principally benefit” means that at least 51% of the beneficiaries of the implemented project must be TIG.

Documentation sources: Applicants may use 1990 census data, income surveys, or other reliable data sources to show how at least 51% of the beneficiaries will be TIG. For ED applications, applicants should document the number of jobs that will be created for TIG persons out of the total number of jobs projected to result from project implementation.

The basis for estimates of the total number of jobs to be created from project implementation and the number of TIG jobs that will be created must be supported by information provided under item #3 of the application’s “Activity Description Form.” Applications that do not provide support for the job estimates and TIG benefit will be deemed not to have met the ED national objective requirement.

▸ Aid in the elimination or prevention of slums and blight

Applicants must provide information in the application about how the P/TA project, if brought to implementation, would aid in the prevention or elimination of slums and blight.

Documentation sources: Local Redevelopment Agency/Plan information that: the study is related to a project located within an area delineated by the jurisdiction that meets the definition of slum, blighted, deteriorated or deteriorating area under state and local law; that throughout the area there is a substantial number of deteriorated or deteriorating buildings or the public improvements are in a general state of deterioration; how the planning study is related to an activity that will address one or more of the conditions which contributed to the deterioration of the area.

ATTACHMENT 9: PROCUREMENT

This attachment discusses the procurement requirements, which the grantee must meet after the grant is awarded and the state contract has been executed.

Documentation Required: Any grantee that will procure services under a P/TA grant will be required to submit documentation of the procurement process with the final product. The required documentation should consist of a narrative description of the procurement process, including a list of the proposals received with dollar amounts, and a description of the method used to select the contractor or consultant. Also include a copy of the RFP/RFQ used to procure the contractor or consultant.

NOTE: If the applicant jurisdiction had a third-party consultant prepare the RFP/RFQ that was used to select a contractor/consultant, that third-party consultant is precluded from bidding on the RFP/RFQ.

Options for implementing the grant: The grantee may complete the planning work in-house or contract out for services. The federal procurement requirements will apply if the grantee chooses to hire a contractor to carry out all or part of the P/TA-funded activities.

Starting the work: In-house: if the grantee will use only its own staff to work on the grant, work may begin upon execution of the state contract.

Contracted out: If the grantee wants to contract out for services, the grantee has to go through a procurement process. If the total cost of the project from all funding sources is less than \$100,000, (the Federal Threshold amount for a “small purchase” procurement) the grantee can procure services using one of several options discussed below. If the total cost of the project exceeds \$100,000, the grantee may not use the small purchase method.

If the small purchase method is selected, the grantee may follow the more stringent of either its own local procurement rules or the federal procurement requirement.

If the work is hired out: Options for selecting a contractor. The grantee has several options:

- Request for proposals (includes both RFP’s and RFQ’s)
- Small purchase
- Non-competitive procedures
- Using a contractor already under contract to the jurisdiction

Caveat:

- no “loss leader” arrangements

The intent of federal regulations is to require maximum open and free competition. Any “loss leader” type of arrangement in which a consultant offers to provide free services before an applicant receives a grant in return for a future contract is prohibited by federal regulations.

- **REQUEST FOR PROPOSALS (Includes RFP’s and RFQ’s)**

Competitive proposals (per 24 CFR 85.36(d)(3).

Request for Proposals

1. The Request for Proposals (RFP) must clearly and accurately state the technical requirements for the goods and services required;
2. The grantee must publicize the RFP, and to the maximum extent practicable, honor reasonable requests by parties to have an opportunity to compete;
3. Proposals must be solicited from an adequate number of qualified sources, consistent with the nature and requirements of the procurement;
4. The grantee must conduct a technical evaluation of the submitted proposals to identify the responsible offerors;
5. As necessary, the grantee must conduct negotiations with those offerors who are deemed responsive and responsible and fall within a competitive price range, based on the grantee’s evaluation of the bidders’ pricing and technical proposals. After negotiations, these bidders may be given the opportunity to submit a “best and final” offer; and
6. The grantee must award the contract to the most responsive and responsible offeror after price and other factors are considered through scoring the proposals or “best and final” offers according to predetermined evaluation criteria. The successful proposal/offeror must clearly be the most advantageous source of the goods and services.

Request for Qualifications

For procurement involving architecture or engineering services, the grantee may use the Request for Qualifications (RFQ) competitive proposal procedure whereby competitors’ qualifications are evaluated and the most qualified competitor is selected, subject to negotiation of fair and reasonable compensation. In these instances, price is not used as a selection factor.

Once the most-qualified firm is identified, only that firm is asked for a price proposal which is subject to negotiation of a fair and reasonable price. If negotiations with the selected firm are unsuccessful, this process is repeated with the next highest-ranked firm, until a fair and reasonably-priced contract can be awarded.

The grantee must take care to document the basis for its determination of the most qualified competitor and the reasonableness of the contract price. This qualifications-based approach to the competitive proposals method may not be used to purchase other than architectural and engineering services (24 CFR 85.36(d)(3)(v)).

For applicants' information, the above-cited federal rule relating to the procurement of architectural and engineering (A/E) services is quoted verbatim:

“Grantees and subgrantees may use competitive proposal procedures for qualifications-based procurement of architectural/engineering (A/E) professional services whereby competitors' qualifications are evaluated and the most qualified competitor is selected, subject to negotiation of fair and reasonable compensation. The method, where price is not used as a selection factor, can only be used in procurement of A/E professional services. It cannot be used to purchase other types of services though A/E firms are a potential source to perform the proposed effort.”

This means that:

- Qualifications-based procurement can be used only for A/E services.
- A Request for Qualifications may be issued.
- The competitors' qualifications are evaluated and the most qualified competitor is selected, subject to negotiation of fair and reasonable compensation.
- An RFQ cannot be used to purchase other types of services, even though A/E firms are potential sources to perform other types of services.

In addition, the federal procurement regulations generally discourage the use of local geographical preferences in the evaluation of bids or proposals except where mandated by federal statutes, due to the restrictions on open competition, which result. However, in procuring architectural and engineering services, geographic location is permitted as a selection criteria provided this criterion leaves an appropriate number of qualified firms (24 CFR 85.36(c)(2)).

If only one response is received, the grantee must contact CDBG for permission to select this sole source. See below under Non-Competitive Proposals (Sole Source) for more information.

NOTE: Sealed Bid procurement is another common method of procurement. It is not described in this attachment since it is seldom used in conjunction with P/TA grants. If you have questions, please contact your CDBG representative.

▸ **SMALL PURCHASE PROCEDURE USING EITHER LOCAL OR FEDERAL (whichever is more stringent) REQUIREMENTS. THE FEDERAL REQUIREMENTS ARE :**

Price or rate quotations must be obtained from a sufficient number (usually three) of qualified vendors. These quotes may be obtained over the telephone or in writing. The Jurisdiction should provide the same information on work to be performed to all bidders and document the file with the bid information and the basis for selection. If only one response is received, the grantee must contact CDBG for permission to select this sole source. See below under Non-Competitive Proposals (Sole Source) for more information.

▸ **NON-COMPETITIVE PROCEDURES (SOLE SOURCE)**

Procurement by this method means a procurement through solicitation of a proposal from only one source, or after solicitation of a number of sources (i.e., by using the RFP, RFQ, or small purchase method), competition is determined to be inadequate.

This method can only be used when awarding a contract is not feasible using the competitive proposal or small purchase method, and one of the following circumstances applies:

1. The service is available only from a single source
2. There is an emergency situation or extremely urgent need and time will not allow other procurement methods
3. After soliciting a number of sources, competition is determined to be inadequate.

If a grantee has attempted procurement by the Request for Proposal or Small Purchase methods and these methods resulted in only one bid received, or if the grantee wishes to procure using the Non-Competitive method, then the grantee must submit a written request to the Department prior to selecting a single bidder. The written request must address certain questions. Before making such a request, the grantee should contact a CDBG representative to obtain the correct format.

▸ **USING A CONTRACTOR WHO IS ALREADY UNDER CONTRACT TO THE JURISDICTION**

If the jurisdiction has a consultant under a pre-existing, multi-year contract, CDBG will permit the grantee to use that consultant without going through an additional procurement process, subject to the following restrictions:

A single RFP for CDBG administrative services including housing, public works, community facilities and public services, and economic development is not consistent with the federal procurement requirement. That is, an RFP of such broad scope would place unreasonable requirements on firms in order for them to qualify to do business. Therefore, HCD restricts multi-year contracting to specific specialty areas. A single RFP to carry out all CDBG housing-related activities or all CDBG economic development-related activities would be acceptable. The multi-year contract cannot exceed three years.

ATTACHMENT 10: PUBLIC INFORMATION FILE

Applications and grant agreements are public information and are available for review by the public. Applicants are advised that information submitted to the State may have to be made available to the public under the State Public Records Act unless an exemption under this Act applies to the information submitted and the applicant establishes a valid claim of confidentiality under such exemption.

ATTACHMENT 11: RESOLUTION OF THE GOVERNING BODY (SAMPLE)

An application for the State CDBG Program is to include, at minimum, the following information in a resolution. Applicants have the option to include any additional pertinent information. The Resolution must be certified.

RESOLUTION NO. _____

A RESOLUTION APPROVING AN APPLICATION FOR FUNDING AND THE
EXECUTION OF A GRANT AGREEMENT AND ANY AMENDMENTS THERETO FROM
THE PLANNING/TECHNICAL ASSISTANCE ALLOCATION OF THE STATE CDBG
PROGRAM.

BE IT RESOLVED by the (City Council/County Board of Supervisors) of the (City/County)
of _____ as follows:

SECTION 1.

The City Council has reviewed and hereby approves an application for up to:

(list activity title and dollar amount)

SECTION 2.

The City Council has determined that federal Citizen Participation requirements were met during the development of this application.

SECTION 3.

The City Council hereby approves the use of (Source of funds)
in the amount of \$_____ to be used as the City's Cash Match for this project.

SECTION 4.

The (title of designated official[s])_____ is hereby authorized and directed to act
on the City's behalf in all matters pertaining to this application.

SECTION 5.

If the application is approved, the (title of designated official[s])_____ is authorized
to enter into and sign the grant agreement and any subsequent amendments with the State of
California for the purposes of this grant.

PASSED AND ADOPTED at a regular meeting of the City Council of the City of _____ held on _____ by the following vote:

AYES:

NOES:

ABSENT:

Name and Title
City Council/Board of Supervisors

STATE OF CALIFORNIA
City/County of _____

I, _____, City/County Clerk of the City/County of _____, State of California, hereby certify the above and foregoing to be a full, true and correct copy of a resolution adopted by said City Council/Board of Supervisors on this ____ day of _____, 19____.

Name, City/County Clerk of the City/County of _____, State of California

By: _____
Name, Title

ATTACHMENT 12: SECTION 504 OF THE REHABILITATION ACT OF 1973

Overlay Requirement.

HUD requires jurisdictions to have documented their compliance with Section 504. Applicants must attach a Section 504 Self-Certification form with their Application Package. A sample form is included at the end of this attachment. It is important to note that the form itself does not constitute the jurisdiction's efforts to meet Section 504. The jurisdiction should have performed an analysis and evaluation of each factor and prepared a Section 504 Plan. The self-certification form is used to certify that the jurisdiction has performed this analysis and evaluation and to record areas of compliance or problems.

Discussion of Section 504 compliance. Section 504 of the Rehabilitation Act of 1973, as amended, was implemented by the Department of Housing and Urban Development in a final rule published in the Federal Register on June 2, 1988. This rule applies to direct and indirect applicants and recipients of funding under Title I of the Housing and Community Development Block Grant Act of 1974. The purpose of the rule is to provide that no otherwise qualified individual with handicaps shall, solely by reason of his or her handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance from HUD.

In addition to the non-discriminatory and affirmative action activities discussed in the CDBG Grants Management Manual, grant recipients must undertake several activities to be in minimal compliance with Section 504.

1. Communications.

- a. The recipient shall take appropriate steps to ensure effective communication with applicants, beneficiaries and members of the public. In determining what auxiliary aids are necessary (e.g. telecommunication devices for deaf persons (TDD's)) the recipient will give primary consideration to the requests of the individual with handicaps. Where a recipient communicates with applicants by telephone, TDD's or equally effective communications systems shall be used.
- b. The recipient shall adopt and implement procedures to ensure that interested persons (including persons with impaired vision or hearing) can obtain information concerning the existence and location of accessible services, activities and facilities.
- c. This section does not require a recipient to take any action that the recipient can demonstrate would result in a fundamental alteration in the nature of a program or activity or in undue financial and administrative burdens. The recipient must nonetheless ensure that, to the maximum extent possible, individuals with handicaps receive the benefits and services of the program or activity receiving HUD assistance.

2. Employment. In addition to the general prohibitions against discrimination discussed elsewhere in the Grant Management Manual, CDBG recipients must ensure the following:
 - a. A recipient shall make reasonable accommodation to the known physical or mental limitations of an otherwise qualified applicant with handicaps or employee with handicaps, unless the recipient can demonstrate that the accommodation would impose an undue hardship on the operation of its program.
 - b. A recipient may not use any employment test or other selection criterion that screens out or tends to screen out individuals with handicaps or any class of individuals with handicaps. Pre-employment inquiries may not be made to determine whether the applicant is an individual with handicaps or the nature or severity of a handicap except as directly related to an applicant's ability to perform job-related functions.
3. Program accessibility. Except as otherwise provided, no qualified individual with handicaps shall, because a recipient's facilities are inaccessible to or unusable by individuals with handicaps, be denied the benefits of, be excluded from participation in, or otherwise be subjected to discrimination under any program or activity that receives Federal financial assistance.

Recipients using CDBG funds for the construction or alteration of community facilities should contact the CDBG Equal Opportunity/Fair Housing Specialist for guidance on HUD accessibility requirements. Accessibility requirements must also be met by multi-family housing constructed in whole or in part by HUD funds.

4. Enforcement.
 - a. Assurances. All applicant jurisdictions to the State CDBG program are required to submit with each application a signed Statement of Assurances which states, in part, that the applicant will comply with Section 504 of the Rehabilitation Act of 1973, as amended, and implementing regulations.
 - b. Covenants. Where property is purchased or improved with Federal financial assistance or where federal financial assistance is provided in the form of real property or interest in the property, the instrument effecting or recording this transfer shall contain a covenant running with the land to assure nondiscrimination for the period in which the real property is used for a purpose for which the federal financial assistance is extended or for another purpose involving the provision of similar services or benefits.
 - c. Self-evaluation. Each grantee shall, in consultation with interested persons, including individuals with handicaps or organizations representing persons with handicaps:
 - 1) Evaluate its current policies and practices to determine whether, in whole or in part, they do or do not meet the requirements of Section 504;
 - 2) Modify any policies or procedures that do not meet the requirements of Section 504; and

- 3) Take appropriate corrective steps to remedy the discrimination revealed by the self-evaluation.

A grantee that employs 15 or more persons shall, for at least three years following the completion of the evaluation, maintain on file, make available for public inspection, and provide to the responsible civil rights official, upon request:

1) a list of interested persons consulted; 2) a description of the areas examined and any problems identified; and 3) a description of any modifications made and of any remedial steps taken.

- d. Designation of responsible employee and adoption of grievance procedures. A grantee that employs 15 or more persons shall designate at least one person to coordinate its efforts to comply with Section 504 implementing regulations. Grantees which employ 15 or more persons must also adopt grievance procedures that incorporate appropriate due process standards and that provide for the prompt and equitable resolution of complaints alleging any action prohibited by Section 504 and related implementing regulations.

- e. Notice. A grantee that employs 15 or more persons shall:

- 1) Take appropriate initial and continuing steps to notify participants, beneficiaries, applicants and employees, including those with impaired vision or hearing, and unions or professional organizations holding collective bargaining or professional agreements with the grantee that it does not discriminate on the basis of handicap in violation of Section 504. The notification shall state, where appropriate, that the grantee does not discriminate in admission to, access to, or treatment or employment in its federally-assisted programs and activities. The notification shall also include an identification of the designated responsible employee. Methods of initial and continuing notification may include the posting of notices, publication in newspapers and magazines, placement of notices in grantee's publications, and distribution of memoranda or other written communications.
- 2) Include in recruitment materials or publications containing general information that it makes available to participants, beneficiaries, applicants or employees, a statement of policy described in paragraph 1).
- 3) Ensure that members of the population eligible or likely to be affected directly by a federally-assisted program who have visual or hearing impairments are provided with the information necessary to understand and participate in the program. Methods for ensuring participation include, but are not limited to, qualified sign language and oral interpreters, readers, or use of taped and Braille materials.

SECTION 504 SELF-EVALUATION

Applicant: _____

AREAS DISCUSSED	PROBLEMS IDENTIFIED	MODIFICATIONS MADE
<u>COMMUNICATIONS: Program Publicity</u> Public Notices and ads in newspaper? yes / no Public Service Announcements? yes / no Posters or fliers? yes / no Letters to homeowners in area? yes / no Informational public meetings? yes / no Interpreters, readers, or TDD's available upon request? yes / no Equal Opportunity statement in ads, fliers, letters? yes / no		
<u>EMPLOYMENT:</u> Does the City make reasonable accommodation to known physical or mental limitations of qualified applicants or employees with handicaps? yes / no Pre-employment inquiries and tests do not screen out handicapped persons? yes / no		
<u>PROGRAM ACCESSIBILITY:</u> Are City/County facilities accessible to and usable by individuals with handicaps (for example: ramps, space at meetings)? yes / no Handicap modifications offered in rehabilitation program? yes / no Handicapped individuals with limited mobility assisted with applications at their homes? yes / no		
<u>ENFORCEMENT - Evaluate how policies meet 504 requirements:</u> Statement of Assurances in grant applications? yes / no Non-discrimination clause in deed of trust? yes / no Names of Advisors on Handicapped issues: _____ Does the City/County have procedures for complaints? yes / no Is log maintained of any complaints? yes / no		

Name and signature of Section 504 Coordinator _____

Date Signed: _____

ATTACHMENT 13: STATEMENT OF ASSURANCES

Applicants must attach a Statement of Assurances with the application. If a P/TA award is made, the grantee must assume responsibility for compliance with State, federal, and applicable local laws and regulations that apply to the expenditure of State CDBG funds.

Program regulations require the applicant to assure that the jurisdiction and all Subrecipient's will comply with all applicable State and federal requirements. Some requirements pertain to all local CDBG activities such as audits and procurement standards while others are specific to certain activities, such as relocation law and labor standards.

A list of these provisions is included in the Statement of Assurances. The Statement of Assurances must be signed by the jurisdiction's Chief Executive Officer, regardless of any signatory designation in the governing body's resolution authorizing submission of the application.

The following pages contain a sample Statement of Assurances.

STATEMENT OF ASSURANCES (SAMPLE)

The City/County of _____ hereby assures and certifies that:

1. It possesses legal authority to apply for the grant and to execute the proposed program.
2. Its governing body has duly adopted or passed as an official act or resolution, motion, or similar action authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the applicant's chief executive officer or other designee to act in connection with the application and to provide such additional information as may be required.
3. It has or will comply with all citizen participation requirements, which include, at a minimum, the following components:
 - a. Provides for and encourages citizen participation, with particular emphasis on participation by persons of low and moderate income who are residents of slum and blight areas and of areas in which CDBG funds are proposed to be used, and provides for participation of residents in low and moderate income neighborhoods as defined by the local jurisdiction;
 - b. Provides citizens with reasonable and timely access to local meetings, information, and records relating to the grantee's proposed use of funds, as required by CDBG regulations, and relating to the actual use of funds under this title;
 - c. Provides for technical assistance to groups representative of persons of low and moderate income that request such assistance in developing proposals with the level and type of assistance to be determined by the grantee;
 - d. Provides for public hearings to obtain citizen views and to respond to proposals and questions at all stages of the community development program. These include at least the development of needs, the review of proposed activities, and review of program performance, which hearings shall be held after adequate notice, at times and locations convenient to potential or actual beneficiaries, and with accommodation for the handicapped. This shall include one public meeting during the program design, annual performance report preparation, and formal amendments. A public hearing shall be conducted prior to application submittal;
 - e. Solicits and provides for a timely written answer to written complaints and grievances, within 15 working days where practicable; and
 - f. Identifies how the needs of non-English speaking residents will be met in the case of public hearings where a significant number of non-English speaking residents can reasonably be expected to participate.

4. Its CDBG Program has been developed so as to primarily benefit targeted income persons and households, and each activity in the program meets one of the three national objectives: benefit to low and moderate income persons, elimination of slums and blight, or meets an urgent community need certified by the grantee as such.
5. It consents to assume the responsibilities for environmental review and decision-making in order to ensure compliance with NEPA by following the procedures for "recipients" of block grant funds as set forth in 24 CFR, Part 58, entitled "Environmental Review Procedures for Title I Community Development Block Grant Programs." Also included in this requirement is compliance with Executive Order 11988 relating to the evaluation of flood hazards, and Section 102(a) of the Flood Disaster Protection Act of 1973 (Public Law 93-234) regarding purchase of flood insurance, and the National Historic Preservation Act of 1966 (16 USC 470) and implementing regulations (36 CFR 800.8).
6. It consents to assume the role of either "Lead Agency" as defined by Section 21067 of the California Public Resources Code, or if another agency is or will be designated "Lead Agency," it consents to assume the role of "Responsible Agency" as defined by Section 21069 of the California Public Resources Code, in order to ensure compliance with CEQA.
7. It has resolved any audit findings or performance problems for prior CDBG grants awarded by the State.
8. It certifies that there is no plan, ordinance, or other measure in effect which directly limits, by number, the building permits that may be issued for residential construction or the buildable lots which may be developed for residential purposes; or if such a plan, ordinance, or measure is in effect, it will either be rescinded before receiving funds, or it need not be rescinded because:
 - a. It imposes a moratorium on residential construction, to protect the health and safety, for a specified period of time which will end when the public health and safety is no longer jeopardized; or
 - b. It creates agricultural preserves under Chapter 7 (commencing with Section 51200) of Part 2 of Division 1 of Title 5 of the Government Code; or
 - c. It was adopted pursuant to a specific requirement of a State or multi-State board, agency, department, or commission; or
 - d. The applicant has a housing element which the Department of Housing and Community Development has found to be adequate, unless a final order has been issued by a court in which the court determined that it is not in compliance with Article 10.6 of Chapter 3 of Division 1 of Title 7 of the Government Code; or
 - e. The use of the funds applied for in this application is restricted for housing for the targeted income group.

9. It will comply with the regulations, policies, guidelines, and requirements of OMB Circular Numbers A-87, A-133, A-122, and 24 CFR Part 85, where appropriate, and the State CDBG regulations.
10. It shall comply with the following regarding nondiscrimination:
 - a. Title VI of the Civil Rights Act of 1964 (Public Law 88-352).
 - b. Title VIII of the Civil Rights Act of 1968 (Public Law 90-284) as amended; and will administer all programs and activities related to housing and community development in a manner affirmatively furthering fair housing.
 - c. Section 109 of the Housing and Community Development Act of 1974, as amended.
 - d. Section 3 of the Housing and Urban Development Act of 1968, as amended.
 - e. Executive Order 11246, as amended by Executive Orders 11375 and 12086.
 - f. Executive Order 11063, as amended by Executive Order 12259.
 - g. Section 504 of the Rehabilitation Act of 1973 (Public Law 93-112), as amended, and implementing regulations.
 - h. The Age Discrimination Act of 1975 (Public Law 94-135).
 - i. The prospective contractor's signature affixed hereon and dated shall constitute a certification under the penalty of perjury under the laws of the State of California that the bidder has, unless exempted, complied with the nondiscrimination program requirements of Government Code Section 12990 and Title 2, California Code of Regulations, Section 8103.
11. It will comply with the Federal Relocation Act (42 U.S.C. 4601 et seq.) and will certify that it is following a residential anti-displacement and relocation plan.
12. It will comply with the following regarding labor standards:
 - a. Section 110 of the Housing and Community Development Act of 1974, as amended.
 - b. Section 1720 et seq. of the California Labor Code regarding public works labor standards.
 - c. Davis-Bacon Act as amended (46 U.S.C. 276a) regarding prevailing wage rates.
 - d. Contract Work Hours and Safety Standards Act (40 USC 327-333) regarding overtime compensation.

- e. Anti-Kickback Act of 1934 (18 USC 874) prohibiting "kickbacks" of wages in federally assisted construction activities.
- 13. It will comply with the Architectural Barriers Act of 1968 (42 USC 4151) and implementing regulations (24 CFR Part 40-41).
- 14. It will enforce standards of conduct which govern the performance of its officers, employees, and agents engaged in the administration of contracts funded in whole or in part by the CDBG Program (Section 7120(d) of the State regulations).
- 15. It will comply with the Hatch Act (5 USC 1501 et seq.) regarding political activity of employees.
- 16. It will comply with the Lead-Based Paint Regulations (24 CFR Part 35) which prohibits the use of lead-based paint on projects funded by the program.
- 17. It will not employ, award contracts to, or otherwise engage the services of any contractor while that contractor is in a period of debarment, suspension, or placement in ineligibility status under the provisions of 24 CFR Part 24.
- 18. It will give HUD, the Comptroller General, the State Department of Housing and Community Development, or any of their authorized representatives access to and the right to examine all records, books, papers, or documents related to the grant.
- 19. It will not attempt to recover any capital costs of public improvements assisted in whole or in part with CDBG funds by assessing properties owned and occupied by targeted income persons unless:
 - a. CDBG funds are used to pay the proportion of such assessment that relates to non-CDBG funding or
 - b. for the purposes of assessing properties owned and occupied by targeted income persons who are not of the lowest targeted income group, it does not have sufficient CDBG funds to comply with the provisions of a. above.
- 20. It will adopt and enforce policies
 - a. prohibiting the use of excessive force by its law enforcement agencies against individuals engaged in non-violent civil rights demonstrations and
 - b. enforcing applicable State and local law against physically barring entrance to or exit from a facility or location which is the subject of such non-violent civil rights demonstration within its jurisdiction.

The certification is made under penalty of perjury under the laws of the State of California.

CERTIFYING OFFICIAL: _____
(Chief Administrative Executive —enter exact title of person signing)

Signature Date

ATTACHMENT 14: SURVEY TECHNIQUES

This Attachment provides information for applicants who anticipate using CDBG funds to conduct a neighborhood income survey:

1. Conducting the Survey/Client Confidentiality
2. Survey Questions
3. Information about Random Sampling

Applicants may propose to use P/TA funds to conduct a survey to determine the percentage of Targeted Income Group (TIG) households in a given geographic area or neighborhood. Because CDBG funds must be used to meet a national objective (see Attachment 10), any applicant proposing to do an income survey must be reasonably confident before conducting the survey that the area to be surveyed is at least 51% TIG.

Part 1. Conducting the Survey /Client Confidentiality

The survey process should include a way to identify specific households who responded to the questionnaire and ensure the respondents' confidentiality. Respondents may be particularly sensitive to the question of household income. If a respondent's address is requested on the questionnaire, many persons may not answer the income questions or may not complete the questionnaire at all. Consequently, in order to promote a high response rate, the questionnaire should not include identifying information, such as the person's name or address.

Several acceptable methods for preserving anonymity of the respondent include:

1. The surveyor may hand deliver the questionnaire to the respondent and conduct the survey orally. At that time, upon completing this interview, the surveyor would mark off the respondent's address from an address list. If the questionnaire is delivered to the household or mailed and is to be collected at a later date, the collector can mark off the respondent's address at the time of collection.
2. If the questionnaire is to be mailed to respondents and returned by mail, the identifying information (respondent's address) would be on the return envelope. Upon receipt of the completed questionnaire, the address can be checked off the address list and the envelope and questionnaire can be separated. If the applicant uses this method, a statement ensuring respondent confidentiality should be included. Sample language is given on the following page:

Replies to this questionnaire are confidential. Confidentiality is protected by not including names on any of the forms. We need a high response to have a chance of getting funded. Addresses are on the return envelopes so we can make follow-up contacts if no questionnaire is received and we need more questionnaires returned. When we get your envelope and questionnaire in the mail, we will check off that a questionnaire has been received from your house, remove the questionnaire from the envelope, and throw the envelope away. No identifying information will be kept with the questionnaires and the questionnaires will be tallied as a group.

3. If coded questionnaires are used, a simple method of coding is to place a number on the questionnaires or return envelopes. Each number is assigned an address from the address list. When the material is received, a list of returned numbers is kept. If the response rate is not high enough so that follow-up contacts are needed, the addresses of numbers for which no response has been received can be looked up and additional questionnaires sent out.

The income survey data should be less than 60 months old from the date the 2000 NOFA is released by the Department.

Part 2. Survey Questions

These questions and the Directions for Random Sampling which follow in Part 3. are provided to assist the applicant in using a method of surveying which allows for validation and, at the same time, preserves the confidentiality of the respondent. Applicants may include other questions designed to elicit information which they feel is important. Experience has shown that overly detailed surveys may adversely affect the response rate.

The questions are designed to provide data regarding family size, income, and housing tenure. Family size and income are of particular significance in determining if a household is in the targeted income group.

NOTE TO APPLICANTS: Information regarding question #2 below. Please read the following information regarding income data and use the income limit figures that apply to your County in your questionnaire.

The reason for collecting income data is for the applicant to make a determination of how many persons surveyed fall into the categories of LTIG, TIG, and above TIG. The numbers provided in the chart under question #2 are **SAMPLES ONLY**. Use Line A for the income limits for the Lowest Targeted Income Group; use Line B for the income limits for the Targeted Income Group.

Applicants should consult Attachment 7 of this P/TA Application Package (the 2000 Income Limits by County) and use the income limits for their county in their questionnaire. This will

enable applicants to group the respondents as LTIG, TIG, and over TIG. LTIG is 50 percent and below of the adjusted area median family income. TIG is 80 percent and below of the adjusted area median family income (by definition, TIG includes LTIG). Over TIG is 81 percent and above of the adjusted area median family income.

QUESTIONS

1. How many persons live in your household? _____
2. Using the chart below, please do the following:
 - a. Circle the column that matches the size of your household.
 - b. On a separate sheet of paper, make a determination of your income (you do not need to state your income on this questionnaire). Use the total household income in the last 12 months or the income claimed in the most recent Federal income tax filing. Include gross wages before deductions, public assistance, unemployment benefits, social security, pensions, alimony, child support, net income from owning or operating a farm or business, or any other source of income received regularly.
 - c. Compare the income of your family to the figures on the chart in Lines A and B under the column you circled for the size of your household (#a. above).
 - d. Read the following questions and make a check mark in the spaces indicated:
 - 1) Line A: Was your household income above_____ or below_____ the number associated with your family size? If you checked "above," also answer #2). If you checked "below," stop here and go on to question #3.
 - 2) Line B: Was your household income above_____ or below_____ the number associated with your family size?

Household Size	1	2	3	4	5	6	7	8
A (LTIG)	\$11,950	\$13,700	\$15,400	\$17,100	\$18,450	\$19,850	\$21,200	\$22,550
B (TIG)	\$19,150	\$21,900	\$24,600	\$27,350	\$29,550	\$31,750	\$33,950	\$36,100

3. Are your living quarters: Owned___ or Rented ___

Name & address of owner _____

Part 3. Information about Random Sampling

In comparing applications for TIG benefit and need, the Department will accept reliable data about the local beneficiary population.

The Department will accept sampling statistics that represent the population as a whole if the applicant uses a valid survey methodology. Conversely, the Department may, after reviewing the submitted data, determine that the methodology was statistically unsound. In such cases, the Department may assign a score of zero for TIG benefit, or may use other generally recognized data such as U.S. Census data.

Two key features to your survey design should be 1) random selection of survey respondents, and 2) a large enough sample size to assure you have captured a reliable representation of the population. The following discussion provides some guidance in these two key areas.

Random Sampling

The guiding rule for sampling households or beneficiaries from the larger population is the avoidance of “sampling bias.” That is, sampling should not systematically exclude certain types of respondents. For example, surveys conducted mid-week during the day may exclude working households and provide inaccurate statistics about the larger population. If the survey methodology contains a sampling bias, larger sampling sizes will not solve the problem. Certain portions of the population will continue to be systematically excluded from the sampling.

As a general rule, each individual within the population should have an equal chance of being surveyed. Beware of using data sources that contain only certain portions of your beneficiary population. For example, some utility billing lists may contain only property owners, while the beneficiaries will be both owners and renters. Within your application to the Department, describe the sampling methodology and how it achieves a randomly-selected sampling.

Adequate Sampling Size

The required sampling size is determined by the size of the universe or the service area. The following table should be used to determine how many households a surveyor needs to interview to develop a survey of acceptable accuracy. For example, if you had a small water district of 50 households that you wanted to survey, you would have to get responses from all 50 households. If the district had 500 households, you would have to get responses from 250. If the district had 5,000 households, you would have to get responses from 400.

A second example would involve a larger “income survey” for a planning grant. Consider a community center feasibility study for a remote service area in which 1,400 households reside. According to the table on the following page, it would be necessary to obtain income surveys from a minimum of 350 households. If your results showed that 200 of the 350 households surveyed were Targeted Income Group, then the service area would be 57 percent Targeted Income Group ($200/350=57\%$), which exceeds the area benefit threshold for planning grants of 51% Targeted Income Group

Required Sample Sizes for Universes of Various Sizes

Number of Households
in the Universe

Sample Size (# of Responses)

1-50	All
51 - 55	50
56 - 63	55
64 - 70	60
71 - 77	65
78 - 87	70
88 - 99	80
100 - 115	90
116 - 138	100
139 - 153	110
154 - 180	125
181 - 238	150
239 - 308	175
309 - 398	200
399 - 650	250
651 - 1,200	300
1,201 - 2,700	350
2,701 or more	400

There is an exception to this table when dealing with a universe of 50 or less. As a general rule, a sample of less than the universe is unacceptable for statistical purposes. However, if the survey is to establish CDBG eligibility, for example, to apply for a planning and technical assistance grant, the rule would not need to apply. The reason for this is that the CDBG eligibility threshold is that at least 51% of the beneficiaries would be TIG. In such a case, as soon as the jurisdiction has answers from a sufficient number of respondent households to indicate that the required TIG percentage of 51% is present, it could consider the information sufficient for area benefit documentation purposes.

Using the example of the water district with 50 households, if a jurisdiction wanted to demonstrate CDBG eligibility for a planning grant, as soon as the jurisdiction had 26 TIG respondents, it could stop the survey, as the area benefit has reached the threshold of at least 51% TIG ($26/50 = 52\%$).

Jurisdictions should consider hiring a professional demographer to conduct surveys of large areas. Surveys should be as statistically reliable as the U.S. Census.

Please contact your CDBG Representative if you wish further information on survey methodology.

SECTION F: APPLICATION DOCUMENTS

Instructions for the Application Summary Form

This section of the application package contains instructions for preparing and submitting the application and a set of application forms.

1. Check one appropriate box and enter the name. If a City is the applicant, please also fill in the blank showing the County in which the City is located.

Type of Application:

- a. Check if the proposed program is only for the applicant.
 - b. Check if the proposed program is for activities in the jurisdiction and an adjoining city or county. Enter names of the jurisdictions.
 - c. Check if a county is the applicant and the proposed program is entirely for a city in the same county. Enter names of the jurisdictions.
 - d. Check here if applying for funds from the ED P/TA Allocation.
 - e. Check here if applying for funds from the G/NA Allocation.
2.
 - a. Enter the total amount of funds requested, including all proposed activities general administration.
 - b. Check yes or no if the jurisdiction has previously applied for P/TA funds in this fiscal year. If awarded funds, indicate the dollar amount, check for which P/TA allocation, and give a brief description of activities.
3. Enter the name, title and mailing address of the chief executive officer, mayor, or other designee authorized in the resolution to sign the grant agreement.
4. Briefly describe the proposed planning activity.
5. Provide the title of the activity to be undertaken with these funds, the amount of funds being requested, and the amount of cash match to be contributed by the applicant. If more than one activity is proposed, enter the title of each and list the specific amount of funds requested for each activity. Show General Administration as a separate activity. For the cash match column, enter only the total amount committed - do not break out by activity. Also, regardless of the total amount of local funds the jurisdiction intends to spend on this grant, enter only the amount of cash match required to be contributed per the cash match chart in Attachment 5.
6. Self-explanatory
7. Self-explanatory

8. LEGISLATIVE REPRESENTATIVES

Enter the district number, name and address for each type of legislator. If the applicant jurisdiction is in more than one district, provide the information for each district.

9. If the applicant has a General Plan, ordinance or other measure which directly limits by number either the building permits which may be issued for residential construction, or buildable lots which may be developed for residential purposes and the measure does not meet any of the exceptions found in Section 7056(b)(2)(B), check "yes" and submit a copy of the measure to the Department with your application.

10. If the applicant has submitted an adopted Housing Element to the Department, check "yes" and complete the self-certification form.

11. ENVIRONMENTAL CLEARANCE - FINDING OF EXEMPTION

Fill in the name of the applicant and list the activities proposed in the application. The appropriate official must print his/her name and sign and date the Finding of Exemption. This completes the environmental review process for the listed activities.

12. Print the name and title of the chief executive officer, mayor, or other designee who is authorized to submit the application. This need not be the contact person. The authorized person **must** sign and date this form.

13. APPLICATION CHECKLIST

The application checklist is included to assist in assuring that the application package is complete. Check each box after you have ensured that the document is complete and included in the package.

Instructions for the Activity Description Form

Enter the name of the applicant at the top of each page. Complete a separate form for each activity. If you are planning to use any of the grant funds for General Administration (limited to 5% of the grant amount), please fill out a separate Activity Description form.

Clearly label additional pages with the applicant's name and item number.

1. Enter a brief description of the proposed activity.
2. Enter the total amount of funds requested for the proposed activity.
3. Each General Allocation activity for which funds are requested must principally provide TIG benefit. Describe how this statutory objective will be met. If the activity proposed in this application were funded and later in time led to an implementation project, estimate the percentage of beneficiaries that would be TIG (including LTIG). See Attachment 8.

For Economic Development applications, state which objective will be addressed and how the proposed activity will meet that objective. (See Attachment 8 and the NOFA.)

4. Activity description. Include the following information:
 - A brief description of the community development need to be addressed by this activity.
 - A detailed description of the program design used to implement the activity.
 - Other actions that will contribute to the accomplishment of this activity.

NOTE: In some circumstances, a proposed activity might involve both G/NA and ED components. For example, a city-wide wastewater master plan could be done to plan for a G/NA Public Works project and for an ED Infrastructure project. If you have already applied in the current year or within the last 2 funding cycles under G/NA or ED and are now applying under the opposite allocation for the same project, please include in your project description a complete narrative of the entire project. Provide justification of why the grantee is applying under both allocations. Include a copy of the budget and project description submitted with the earlier application.

5. Include a complete description of the final product.

Instruction for the Budget and Task/Milestone Forms

Applicants may budget up to 5% of the total CDBG funds being requested for general administration expenses. Such administrative costs include reporting activities and staff time used to procure consulting services.

Successful applicants will be required to account separately for each activity by line item (e.g., salaries, supplies, contracts). When preparing activity budgets, local fiscal staff should be consulted to ensure that the applicant's procurement and accounting systems can account for the budget and provide the required documentation.

The Department reserves the option of revising cost elements of the application. The use of CDBG planning funds to carry out projects that duplicate activities funded by other programs or agencies or by current or prior P/TA grants will only be deemed reasonable if sufficient documentation is included in the application to support the request for CDBG funds.

Applicants should contact their CDBG representative if they need additional explanation or assistance preparing budgets for the application.

Local commitments of cash match must be fully expended before the jurisdiction spends any of the CDBG grant funds. See Attachment 3 for more information about the cash match requirement. CDBG staff will not approve any cash requests until the grantee has provided documentation on CDBG report forms that the cash match expenditure requirement has been met.

Budget or activity changes after a contract is executed.

1. Budgets. Requests for changes more than 10% between line items need prior CDBG written approval. In no event may general administration expenses funded by CDBG exceed 5% of the total grant amount.
2. Activities. Grantees may not add or change activities once the contract is executed. The only allowable change is to delete an activity if the grantee concludes it does not want to or is unable to proceed with the activity. All CDBG funds budgeted for these deleted activities will be disencumbered. Local cash match will not be reduced, as CDBG requires that all match be expended prior to spending any of the CDBG funds. Please contact a CDBG representative for guidance if you anticipate deleting an activity. Jurisdictions who have decided to delete an activity are eligible to submit a second application later in the funding year for a different activity, not to exceed the \$35,000 annual limit per allocation.

Schedule 1 - Activity Budget Form.

Prepare a Schedule 1 for each activity. All the costs other than general administration (see Schedule 2 below) should be included on this form.

1. Enter the activity name.
2. Enter the tasks necessary to carry out the activity.
3. Enter a breakout of hours, hourly rate and cost (hourly rate multiplied by hours) for work to be completed by both the jurisdiction staff and/or contractor.
4. If other funds besides CDBG and the local cash match are being used on this project, please enter the amounts and then provide a total line item cost in the last column. As a footnote or on a continuation page, please identify the source of the other funds.

NOTE: Show all cash match as the first expenditure of funds.

5. Enter totals.

Schedule 2 - General Administration Budget Form.

Prepare a Schedule 2 for general administration costs. Costs to be included in this activity shall not exceed 5% of the total grant amount for general administrative costs. Eligible activities may include accounting, procurement, payroll, and preparing CDBG Financial Accomplishment Reports (FARS).

1. Enter the General Administration tasks associated with the planning grant.
2. Enter a breakout of hours, hourly rate and cost (hourly rate multiplied by hours) for work to be completed by both the jurisdiction staff and/or contractor (if applicable).
3. If other funds besides CDBG and the local cash match are being used on this project, please enter the amounts and then provide a total line item cost in the last column. As a footnote or on a continuation page, please identify the source of the other funds.
4. Enter totals.

Schedule 3 - Tasks/Milestones.

1. Enter the work to be completed by activity and task and indicate with a line the time period during which each will be carried out.
2. Indicate date when the final product will be submitted (final products are due by the end of the grant term).
3. Indicate date when the close-out package will be submitted (within 90 days after the grant ends).

Note: CDBG will generally add 4 to 6 months to the proposed timeline to allow for processing time associated with preparing and executing the state contract.

Instructions for miscellaneous certifications/documents

Citizen Participation/Public Hearings

Applicants must attach documentation that the two required meetings were held prior to submitting this application. Attachment 4 has information on this requirement.

Acceptable documentation: copies of the public notices and proof of publication of both meetings.

Resolution of the Governing Body

Applicants must submit a certified copy of the Resolution of the governing body with the application. The Resolution must signify approval of its contents, authorize a signatory, commit the local cash match, and authorize submission of the application. Attachment 13 is a sample Resolution.

If redevelopment agency funds will be used as the cash match, include a second resolution from the governing body of the redevelopment agency authorizing the use of redevelopment funds as a cash match.

Section 504 of the Rehabilitation Act of 1973

Applicants must attach documentation that they have evaluated their compliance with this requirement. Attachment 14 has more information and a sample self-certification form.

Statement of Assurances

Applicants must submit a Statement of Assurances with the application. Attachment 13 is a sample Statement. The jurisdiction's Chief Executive Officer must sign the Statement of Assurances.

Instructions for submitting an application:

Mail an **original**
and **two copies** to:

State of California
Department of Housing and Community Development
CDBG Program, MS 390-2
P.O. Box 952054
Sacramento, CA 94252-2054

Deadline:

Applications must be received at HCD by 5:00 p.m. on the last working day of the month. Fax or e-mail copies will not be accepted.

Applicant: _____

1. Applicant: ☐ City of ☐ County of: _____

In the County of _____

Type of Application:

- | | |
|---|---|
| a. <input type="checkbox"/> On Applicant's Own Behalf | d. <input type="checkbox"/> On Behalf of _____ Only |
| b. <input type="checkbox"/> Joint Application: _____
and _____ | e. <input type="checkbox"/> ED P/TA |
| c. <input type="checkbox"/> On Applicant's Own Behalf and on
Behalf of _____ | f. <input type="checkbox"/> G/NA P/TA |

2. a. Total amount of funds requested: _____

☐ Has the jurisdiction previously submitted an application and been awarded funds in this current fiscal year? No ____ Yes. \$ _____

☐ ED _____

(briefly describe activities) _____

☐ G/NA _____

(briefly describe activities) _____

3. Name, title and mailing address of person **authorized in the resolution** to sign the grant agreement if funded:

Name: _____
(Last) (First) (MI)

Title: _____

Address: _____
(Name of Jurisdiction)

(Department/Division, etc. as applicable)

(Street #, and or P.O. Box #)

(City) (State) (Zip Code)

Applicant: _____

4. The work shall consist of:

5. List activity title, amount requested and amount of cash match:

Activity Title	Amount Requested (total cannot exceed \$35,000)	Cash Match (enter only the total amount required to be committed: see Attachment. 5)
1.	\$	\$ _____
2.	\$	
3.	\$	
4.	\$	

6. Applicant's Staff Contact Information:

Last:	First:	MI:
Title:		
Mailing Address:		
<div style="display: flex; justify-content: space-between;"> <div>City:</div> <div>State: Zip:</div> </div>		
<div style="display: flex; justify-content: space-between;"> <div>Telephone #: ()</div> <div>Fax #: ()</div> <div>E-mail address:</div> </div>		

Applicant: _____

7. Consultant/Other Public Agency Contact Information:

Last:	First:	MI:
Mailing Address:		
City:	State:	Zip:
Telephone #: ()	Fax # ()	E-mail address:

8. Legislative Representatives

Member of the Assembly	State Senator	Member of Congress
1. District No.	1. District No.	1. District No.
2. Name:	2. Name:	2. Name:
3. Capitol Room #:	3. Capitol Room #:	3. Office Bldg. and address:
1. District No.	1. District No.	1. District No.
2. Name:	2. Name:	2. Name:
3. Capitol Room #:	3. Capitol Room #:	3. Office Bldg. and address:

Applicant: _____

9. Has applicant enacted limitations on residential construction, which are not establishing agricultural preserves, not imposed by another agency, or not based on a health and safety threat?

☐ Yes ☐ No

10. Housing Element Self-Certification.

Statutory authority: State of California Health and Safety Code Section 50829.

Applications will not be accepted without a self-certification of procedural compliance

Contents of the housing element are not reviewed by CDBG

Except as otherwise provided in Section 50830 of the Health and Safety Code, no local application for funds shall be denied because of the content of the city or county's housing element or because of the Department's findings with respect to the city's or county's housing element.

Contents of self-certification:

The applicant must self-certify that it has submitted a draft housing element and any required update to the Department in accordance with the requirements of Article 10.6 (commencing with Section 65580) of Chapter 3 of Division 1 of Title 7 of the Government Code. The date on the certification should not be more than 12 months prior to the date of the P/TA application.

Has the applicant submitted an adopted Housing Element to the Department?

☐ Yes ☐ No

If yes, complete the following self-certification that the housing element is in procedural compliance with State Housing Element Law.

Applicant: _____

HOUSING ELEMENT- Self-certification:

“I, _____, the City Attorney, County Counsel, Chief Executive Officer, Planning Director, or Contract Planner designated by the governing body for the City/County of _____, have reviewed the updated housing element of (name of jurisdiction) _____, and hereby certify that this housing element, which includes updated information and which conforms with all other requirements of Article 10.6 (beginning with Section 65580) of Chapter 3 of Division 1 of Title 7 of the Government Code, has been prepared and was submitted to the Department of Housing and Community Development on _____, 19____. The updated housing element was adopted on _____, 19____ and is in conformity with all requirements of Article 10.6 et seq.”

Printed Name

Title

Signature

Date

11. ENVIRONMENTAL CLEARANCE - Finding of Exemption

It is the finding of the City/County of _____ that the activities proposed in this application for State Community Development Block Grant funds are exempt from environmental review requirements under NEPA because they are defined as exempt activities in 24 CFR Part 58.34. The activity(s) judged exempt consist(s) of:

(Brief description of activities)

1.

2.

3.

Printed Name of Authorized Official

Signature

Title

Date

Applicant: _____

12. OFFICIAL AUTHORIZED TO SUBMIT APPLICATION

Name _____

(Print)

Title _____

Signature _____

Date _____

13. APPLICATION CHECKLIST

<input type="checkbox"/>	Application Summary Form
<input type="checkbox"/>	Activity Description Form, one for each separate activity and general administration
<input type="checkbox"/>	Activity Budget, Schedule 1
<input type="checkbox"/>	General administration budget, Schedule 2
<input type="checkbox"/>	Task/milestone chart, Schedule 3
<input type="checkbox"/>	Citizen participation/public hearings documentation
<input type="checkbox"/>	Environmental Certification
<input type="checkbox"/>	Growth control documentation
<input type="checkbox"/>	Housing Element Self-Certification
<input type="checkbox"/>	Letters of intent of commitment from business owner (if applicable, ED only)
<input type="checkbox"/>	Letters received from citizens regarding application and responses (if applicable)
<input type="checkbox"/>	Resolution of the Governing Body
<input type="checkbox"/>	Section 504 documentation
<input type="checkbox"/>	Statement of Assurances
<input type="checkbox"/>	Subrecipient Agreement
<input type="checkbox"/>	Enclosed an original and 2 copies
<input type="checkbox"/>	Mailed in time to reach CDBG by last working day of the month
<input type="checkbox"/>	All certifications and signature/date blocks signed and dated.

Applicant: _____

Page ____ of ____

Attach one form for each activity.

1. Activity title: _____
2. Amount requested for this activity: \$_____.
3. National objective. For **General Allocation** P/TA applications, please describe how the objective of principally benefiting TIG persons will be met by this activity.

For **Economic Development** P/TA applications, please state which national objective this activity addresses and how the activity will meet that objective. Review the NOFA and Attachment 8 before completing this section.

4. Activity description. Include additional pages if needed. Check the instructions to make sure you have provided all the required information.
5. Describe the final product. NOTE: All final products must contain an acknowledgment of CDBG funding on the front cover

Applicant: _____

Activity Budget

Activity: _____

Activity	City/County Staff Hours				Consultant Hours					
			Task Cost				Task Cost			
Tasks	# of Hrs	Hrly Rate	CDBG Portion	Cash Match	# of Hrs	Hrly Rate	CDBG Portion	Cash Match	Other Sources	Total Cost
1.			\$	\$			\$	\$	\$	\$
2.			\$	\$			\$	\$	\$	\$
3.			\$	\$			\$	\$	\$	\$
4.			\$	\$			\$	\$	\$	\$
5.			\$	\$			\$	\$	\$	\$
6.			\$	\$			\$	\$	\$	\$
7.			\$	\$			\$	\$	\$	\$
8.			\$	\$			\$	\$	\$	\$
9.			\$	\$			\$	\$	\$	\$
10.			\$	\$			\$	\$	\$	\$
11.			\$	\$			\$	\$	\$	\$
12.			\$	\$			\$	\$	\$	\$
13.			\$	\$			\$	\$	\$	\$
14.			\$	\$			\$	\$	\$	\$
15.			\$	\$			\$	\$	\$	\$
Totals			\$	\$			\$	\$	\$	\$

Applicant: _____

General Administration Budget

General Administration	City/County Staff Hours				Consultant Hours					
							Task Cost			
Tasks	# of Hrs	Hrly Rate	CDBG Portion	Cash Match	# of Hrs	Hrly Rate	CDBG Portion	Cash Match	Other Sources	Total Cost
1.			\$	\$			\$	\$	\$	\$
2.			\$	\$			\$	\$	\$	\$
3.			\$	\$			\$	\$	\$	\$
4.			\$	\$			\$	\$	\$	\$
5.			\$	\$			\$	\$	\$	\$
6.			\$	\$			\$	\$	\$	\$
7.			\$	\$			\$	\$	\$	\$
8.			\$	\$			\$	\$	\$	\$
9.			\$	\$			\$	\$	\$	\$
10.			\$	\$			\$	\$	\$	\$
11.			\$	\$			\$	\$	\$	\$
12.			\$	\$			\$	\$	\$	\$
13.			\$	\$			\$	\$	\$	\$
14.			\$	\$			\$	\$	\$	\$
15.			\$	\$			\$	\$	\$	\$
Totals			\$	\$			\$	\$	\$	\$

[illegible]